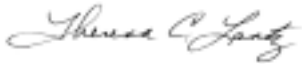
 <p>State of Connecticut Department of Correction</p> <p><b>ADMINISTRATIVE DIRECTIVE</b></p>	Directive Number 1.3	Effective Date 12/15/2005	Page 1 of 9
	Supersedes Administrative Directives, Manuals, Forms Management and Post Orders, dated 3/5/2003		
Approved By 	Title Administrative Directives, Manuals, Forms Management and Post Orders		

1. **Policy.** The Department of Correction's internal management shall be governed by the Connecticut General Statutes, Regulations of Connecticut State Agencies, Administrative Directives, manuals, unit directives and post orders.
  
2. **Authority and Reference.**
  - A. Connecticut General Statutes, Sections 18-78a and 18-81.
  - B. American Correctional Association, Standards for the Administration of Correctional Agencies, Second Edition, April 1993, Standards 2-CO-1A-05 through 2-CO-1A-07, 2-CO-1A-16 and 2-CO-1A-17.
  - C. American Correctional Association, Standards for Adult Correctional Institutions, Fourth Edition, January 2003, Standards 4-4003, 4-4004 and 4-4012 through 4-4014.
  - D. American Correctional Association, Performance-Based Standards for Adult Local Detention Facilities, Fourth Edition, June 2004, Standards 4-ALDF-7D-01, 4-ALDF-7D-06 and 4-ALDF-7D-08.
  - E. American Correctional Association, Standards for Adult Probation and Parole Field Services, Third Edition, August 1998, Standards 3-3005 through 3-3007, 3-3019 and 3-3020.
  - F. American Correctional Association, Standards for Correctional Training Academies, First Edition, May 1993, Standards 1-CTA-1A-02, 1-CTA-1A-03, 1-CTA-1A-11 and 1-CTA-1A-12.
  - G. Administrative Directives 1.2, Organization; 2.15, Custodial Staff Deployment; and 6.2, Facility Post Orders and Logs.
  
3. **Definitions.** For purposes stated herein, the following definitions apply:
  - A. **Administrative Directives.** The basic policy and essential procedures required by the Commissioner of Correction and applicable to all employees.
  - B. **Attachment.** A document, either paper or computer generated, designed solely to provide information to an Administrative or Unit Directive. An attachment may also be a non-departmental form referenced in an Administrative or Unit Directive.
  - C. **Form.** Any printed, duplicated paper or computer screen which provides space to record information either by hand or machine and which is intended to collect repetitive information in accordance with an Administrative or Unit Directive.
  - D. **Manuals.** Technical documents providing detailed information, direction and practice for employees carrying out specific duties or functions.
  - E. **Post Orders.** Written job or task requirements for conducting operations at a specific job station in a correctional facility in accordance with Administrative Directives 2.15, Custodial Staff Deployment and 6.2, Facility Post Orders and Logs.

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- F. Unit Directives. Policy and procedures applicable to a specific unit in accordance with Administrative Directive 1.2, Organization.
4. Authorization and Implementation. Administrative Directives shall become authorized when signed by the Commissioner of Correction and shall become effective in accordance with the date specified on the Directive heading. Manuals shall become authorized when signed by the appropriate Unit Head. Unit Directives and Post Orders shall become authorized when signed by the Unit Administrator and shall be implemented within 30 days of the Unit Administrator's signature. All manuals, unit directives, post orders, forms and attachments, shall be consistent with, inclusive of and subordinate to the Administrative Directives.
5. Organization, Nomenclature, Designations and Punctuation.
- A. Department Administrative Directives shall be organized into chapters containing similar subject matter. Each chapter shall be designated by a number.
- B. Each Directive shall be designated by a number comprised of the chapter number and the number of the Directive in the chapter. The chapter number shall be separated from the Directive number by a period.
- C. Within each Directive, the subject matter shall be divided into sections, subsections, parts and subparts. Sections shall be designated by a number. Subsections shall be designated by a capital letter. Parts shall be designated by a number. Subparts shall be designated by a lower case letter.
6. Directive Heading. Each Administrative and Unit Directive shall have a complete heading on the first page of the Directive and a partial heading on each subsequent page.
- A. A complete heading shall consist of:
1. the State seal;
  2. the Directive number;
  3. the title of the Directive;
  4. the effective date of the Directive;
  5. the title and date of the Directive that was superseded, if any, or the former number of the Directive, if renumbering occurred;
  6. the page number of total pages in the Directive; and,
  7. the Commissioner or appropriate Unit Administrator's signature.
- B. The partial page heading shall contain:
1. the number of the Directive;
  2. the title of the Directive;
  3. the page number of total page numbers; and,
  4. the effective date of that page.

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7. Administrative Directive Forms and Attachments. Any form and/or attachment required by an Administrative Directive shall be attached to the Administrative Directive and shall normally be referenced as a form or attachment in the text of the Administrative Directive. The section just prior to the last section of the directive shall be dedicated to a list of all forms and attachments associated with the directive. Forms and attachments, which are part of the Administrative Directive, shall be subject to the same procedures and approval required in accordance with this Directive.
  - A. Form and Attachment Content. Each appropriate Division Administrator shall be responsible for determining the content of data to be included in an Administrative Directive form or attachment. Final drafts of a proposed form/attachment shall be forwarded to the Standards and Policy Unit for inclusion in the Administrative Directive review process. Administrative Directive forms and attachments shall normally be designed to serve Department-wide needs.
  - B. Form Heading. Each form shall contain, at a minimum, the State seal, a title, form number and revision date. Each Department form shall be numbered by using the letters CN followed by the number of the Administrative Directive which creates the form, followed by a two (2) digit number, in sequence, of that form within the Directive. A form may also contain an attachment heading as referred to in the Administrative Directive.
  - C. Attachment Heading. Each attachment to an Administrative Directive, which is not considered a form, shall have a heading which contains, at a minimum, the State seal, a title, a revision date, the directive the attachment is associated with, and the attachment designation (i.e., A, B, C, etc) as indicated in the Administrative Directive.
  - D. Maintenance. Only Administrative Directive forms and attachments may be maintained in an inmate's Master file. All other forms and attachments that are governed locally by Unit Directives, may be utilized and maintained for a local function but shall not be placed in the inmate's file.
8. Format. Each section of a Directive shall have a title that shall have the first letter of each important word capitalized. The title shall be underlined. Subsections and lower divisions may have titles with underlining as appropriate.
9. Distribution. The Administrative Directives shall be distributed to the head of each division and unit as provided in Administrative Directive 1.2, Organization, and to the Attorney General's Office. A copy of the Administrative Directives, with the exception of any Directive listed under Chapter 7, Safety and Emergency Procedures, shall be distributed to the Chairpersons of the Legislative Regulation Review Committee, the State Librarian and any other agency or individual as authorized by the Commissioner.
10. Maintenance. Each holder of the Administrative Directives shall be responsible for maintaining a current binder.

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11. Auditing. All Administrative Directives distributed under Section 9 of this Directive shall be audited at least annually by the Standards and Policy Unit to ensure the contents are current and accurate consistent with Section 10 of this Directive.
12. Administrative Directive Proposals. An employee may initiate a proposal to establish or modify an Administrative Directive, form or attachment by submitting CN 1301, Request for Inclusion or Revision to an Administrative Directive, through the appropriate chain of command to the Standards and Policy Unit. Recommended changes shall be submitted to the Commissioner for consideration.
13. Request for an Exception. In the event that compliance cannot be met regarding an Administrative Directive, CN 1302, Request for Exception to an Administrative Directive, shall be completed and submitted by a Unit Administrator or Director to the Commissioner through the appropriate chain of command for consideration.

No one other than the Commissioner can grant an exception or issue a direction contrary to the requirements of any Administrative Directive.

14. Administrative Directive Review Process. Drafts and changes to an Administrative Directive shall be managed by the Standards and Policy Unit.
  - A. At the direction of the Commissioner, the Standards and Policy Unit shall draft a change to an Administrative Directive or a new Administrative Directive. The Standards and Policy Unit shall be responsible for ensuring compliance with American Correctional Association standards throughout the developmental process.
  - B. Any Division or Unit likely to be affected or responsible for implementation or compliance shall be permitted an opportunity to review the draft. Appropriate deadlines for such review shall be established. Comments and recommendations shall be forwarded to the Standards and Policy Unit utilizing CN 1306, Administrative Directive Review Form.
  - C. Any new or revised form or attachment proposed in any Administrative Directive shall be forwarded to the Standards and Policy Unit for review.
  - D. The Standards and Policy Unit shall assess the results of the field review and revise the draft based on any suggestions and recommendations as deemed advisable.
  - E. The Standards and Policy Unit shall forward a copy of the revised draft to the Legal Affairs Office for review and comment.
  - F. The draft shall be submitted to the Policy Review Staff, which shall review each Administrative Directive. The Policy Review Staff shall be comprised of the Commissioner, the Division Administrators, the Standards and Policy Administrator, and other staff, as the Commissioner deems necessary. After this review, the Standards and Policy Unit shall revise and edit the draft as appropriate and prepare the proposed Directive for the Commissioner's signature.

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15. Effective Date. An effective date shall be entered on each Administrative Directive by the Standards and Policy Unit prior to the Commissioner's final review and signature. Generally, the Directive shall be effective 30 days after anticipated distribution, unless stated otherwise.
16. Commissioner's Signature. Upon review and approval, the Commissioner shall sign the Directive and forward it to the Standards and Policy Unit, which shall coordinate the printing and dissemination of the Directive.
17. Administrative Directive Revisions. CN 1304, Administrative Directive Revision Notice may be issued under the Commissioner's signature to make minor changes in an Administrative Directive. A Directive revision shall specify both the materials being rescinded and/or any new materials being added. An Administrative Directive Revision Notice shall be followed in a timely fashion with a revised Administrative Directive. Usually, not more than 30 days shall transpire between the issuance of an Administrative Directive Revision Notice and the revised Administrative Directive. Revision notices shall be maintained in the front of the corresponding Administrative Directive pending revision of the Directive.
18. Printing and Promulgation. The Standards and Policy Unit shall coordinate with Correctional Enterprises of Connecticut for the reproduction and distribution of all Administrative Directives and revisions, minus Chapter 7, Safety and Emergency Procedures. New directives and revisions shall be printed and distributed in such quantity and manner to ensure that the binders for each Division and Unit remains current in accordance with Sections 9 and 10 of this Directive.
19. Transmittal Memorandum. New Directives, revisions and deletions shall be promulgated under CN 1303, Administrative Directive Transmittal Memorandum. CN 1305, Administrative Directive Revision Form, which outlines the revisions to the individual directive shall be placed on the top of all affected Administrative Directives, which shall indicate the changes to the directive. All corresponding Unit Directives and post orders shall be updated by the effective date of the Administrative Directive unless otherwise stated. Any change to a bound manual or handbook should be so noted and updated at the next revision date. All affected staff and inmates, if applicable, shall immediately be notified of the changes if a revision is not imminent. Each CN 1303, Administrative Directive Transmittal Memorandum shall be sequentially numbered and shall list by Directive number each of the Directives, revisions or any deletions being distributed. The effective date of each Directive shall also be listed in the CN 1303, Administrative Directive Transmittal Memorandum. Each CN 1303, Administrative Directive Transmittal Memorandum shall be signed by the Commissioner. The CN 1303, Administrative Directive Transmittal Memorandum shall be maintained in the front of the binder until the next sequential Administrative Directive Transmittal Memorandum is received. An omission in the sequence shall be reported to the Standards and Policy Unit.

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20. Table of Contents. The Standards and Policy Unit shall maintain and revise, with the distribution of each CN 1303, Administrative Directive Transmittal Memorandum, a table of contents of current Directives. The table of contents shall contain the number, title, effective date, as well as the date of any superseded Directive. The current table of contents shall be maintained in the front of each binder.
21. Master Administrative Directive Maintenance. The Standards and Policy Unit shall maintain a master file of all existing, superseded and rescinded Administrative Directives. In addition, all original copies, with the Commissioner's signature, shall be maintained by the Standards and Policy Unit.
22. Access to Administrative Directives. Administrative Directives are public documents and shall be available for inspection except for Chapter 7, Safety and Emergency Procedures, which is exempt from disclosure and shall not be disclosed or distributed to anyone except authorized Department employees. Administrative Directives shall be readily accessible to all employees. In addition, all updated Administrative Directives except for Chapter 7, Safety and Emergency Procedures, shall be placed on the Department's website as well as the Department's shared site to provide optimal public and employee access. Each inmate library or reference area shall contain a copy of the Directives, minus Chapter 7, Safety and Emergency Procedures.
23. Training. All direct contact employees undergoing orientation training at the Maloney Center for Training and Staff Development shall be trained in Chapters 6, 7, 9 and 10 of the Directives. Any new Administrative Directive, unit directive, manual or post order shall be shared with each affected employee upon dissemination.
24. Unit Directives. Unit policies and procedures shall be established to implement the Administrative Directives. Each unit shall develop Unit Directives for the promulgation, revision and maintenance of its own Directives consistent with the procedures governing Administrative Directives that is enumerated in this Directive. These unit policies and procedures shall be incorporated into the Administrative Directives and shall not go outside the scope of the authority of the Administrative Directives. The unit policy shall follow after the administrative policy and shall be highlighted in gray (25% shading).

In addition, each unit shall establish procedures to comply with the following to allow for staff review and communication of Department and Unit Directives.

- A. Periodic review of Directives with staff during staff meetings, briefings and roll calls.
- B. The reading of Unit Directives by all present, new and transfer staff which shall, at a minimum, be documented by the staff member's signature that the Unit Directive was read and understood.
- C. The reading of all new or modified Unit Directives by staff, which directly affect the staff member's job responsibility, prior to the Directive's effective date or upon resumption of shift thereafter.

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- D. Allow staff access to all Unit Directives with secured placement within the following areas:
1. Unit Administrator's and Director's Offices;
  2. Deputy Warden's Office;
  3. Major's Office;
  4. Shift Commander's Office;
  5. Training Office;
  6. Secured Main Control Center; and,
  7. Any other location, as determined by the Unit Administrator, with copies of Chapter 7, Safety and Emergency Procedures removed, as necessary.
- E. Unit Directive books shall be available for staff to sign-out on a temporary basis. Specific procedures for accountability of the books shall be established at each unit.
25. Unit Directive Forms and Attachments. Any form or attachment utilized locally at a specific facility or unit shall be incorporated into the Unit Directive that corresponds with its function. The form or attachment shall be attached to the Unit Directive and normally referenced as a form or attachment in the text of the Unit Directive. The section just prior to the last section of the directive shall be dedicated to a list of all forms and attachments associated with the directive. Forms and attachments, which are part of the Unit Directive, shall be subject to the same procedures and approval required in accordance with this Directive.
- A. Form and Attachment Content. Each appropriate Director or Unit Administrator shall be responsible for determining the format and content of data to be included in a Unit Directive form or attachment. Unit Directive forms and attachments shall be designed to serve a local function. Administrative Directive forms shall be utilized for all other functions and shall not be modified locally. All recommended changes to Administrative Directives forms or attachments shall be consistent with Section 12 of this Directive.
  - B. Form Heading. Each form shall contain, at a minimum, a title, form number and revision date. Each unit form shall be numbered by using the letters CN followed by the number of the Unit Directive which creates the form, followed by a two (2) digit number, in sequence, of that form within the Directive. A form may also contain an attachment heading as referred to in the Unit Directive.
  - C. Attachment Heading. Each attachment to a Unit Directive, which is not considered a form, shall have a heading, which contains, at a minimum, the State seal, a title, revision date, the directive the attachment is associated with, and the attachment designation (i.e., A, B, C, etc.) as stated in the Unit Directive.
  - D. Maintenance. Unit Directive forms and attachments may be utilized and maintained locally but shall not be placed in an inmate's master file in accordance with Section 7(D) of this Directive.
26. Manuals. Each division responsible for Classification, Facilities Management and Engineering Services, Fiscal Services, Food Services, Health Services, Human Resources, Parole and Community Services,

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Records and Time Computation and Training and Staff Development shall publish a manual. Manuals shall provide Department managers and employees with technical information to conduct their duties. Any manual shall be consistent with the format established in Sections 5 through 7 of this Directive.

27. Post Orders. All posts established under the facility posting plan as authorized by Administrative Directive 2.15, Custodial Staff Deployment shall have a written post order delineating the duties and responsibilities of the assigned employee(s) in accordance with Administrative Directive 6.2, Facility Post Orders and Logs. Each Department employee assigned to a post shall read the corresponding post order prior to assuming the responsibilities of the post and sign an acknowledgment that the appropriate post order has been read. All post orders shall be consistent with the format established in Sections 5 through 7 of this Directive. Post orders shall be exempt from disclosure and shall not be disclosed or distributed to anyone except authorized Department employees.
28. Inmate Handbooks. Each facility shall be responsible for the development and subsequent distribution of an inmate handbook. The handbook shall be reviewed annually and revised as appropriate. The inmate handbook shall contain information concerning classification, discipline, facility rules and regulations, property, access to programs and services and any additional information as deemed necessary by the Unit Administrator. The handbook shall be printed in both English and Spanish and shall be distributed to each inmate within 24 hours of arrival at the facility.
29. Annual Policies and Procedures Review. Administrative Directives, manuals, Unit Directives and post orders shall be reviewed and may be updated at least annually to reflect changes in:
  - A. Statutes and Public Acts;
  - B. Presidential and Executive Orders;
  - C. Court orders;
  - D. National standards;
  - E. Personnel complements, budgets and/or programs changes;
  - F. Changes in offender population characteristics; and,
  - G. Other conditions or reasons or for administrative necessity.

Each year the Standards and Policy Unit shall distribute a guidance memorandum outlining the processes and time frames for the annual policy review. Also distributed shall be the authorized logs that shall be maintained for Unit Directive, Manual, Post Order and Inmate Handbook reviews. Employees shall be encouraged to participate in the formulation and revision of Department and institutional policies, procedures, and/or programs. Nothing in this Section shall preclude changes from being instituted or undertaken at any other time.

30. Transition. An existing Administrative Directive shall remain in force and effect until superseded by a new Administrative Directive or until rescinded in an Administrative Directive Transmittal Memorandum. Supersession of an existing Administrative Directive shall be in



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accordance with the information in the heading of the first page of the affected Administrative Directive.

31. Forms and Attachments. The following forms are applicable to this Administrative Directive and shall be utilized for the intended function:
  - A. CN 1301, Request for Inclusion or Revision to an Administrative Directive;
  - B. CN 1302, Request for Exception to an Administrative Directive;
  - C. CN 1303, Administrative Directive Transmittal Memorandum;
  - D. CN 1304, Administrative Directive Revision Notice;
  - E. CN 1305, Administrative Directive Revision Form; and,
  - F. CN 1306, Administrative Directive Review Form.
  
32. Exceptions. Any exceptions to the procedures in this Administrative Directive shall require prior written approval from the Commissioner.